

THE COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington D. C. 20231

Sir:

Transmittal herewith for filing is the patent application of  
Inventor(s): MALCOLM G. SMITH, SR and DONALD C. MANN

For: DATA STORAGE CARD HAVING A NON-MAGNETIC SUBSTRATE AND DATA SURFACE  
REGION AND METHOD FOR USING SAME

Enclosed are:

- ☒ TEN (10) sheet(s) of informal drawing(s).  
☒ An Assignment of the invention to ULTRACARD, INC., a Nevada corporation  
☐ A certified copy of a \_\_\_\_\_ application.  
☐ An associate Power of Attorney.  
☒ A Verified Statement Claiming Small Entity Status under 37 CFR 1.9(f) and 37 CFR 1.27(b)) (Independent Inventor)  
☒ A Verified Statement Claiming Small Entity Status under 37 CFR 1.9(f) and 37 CFR 1.27(c)) (Small Business Concern)  
☒ This Application is a Continuation-in-Part of Serial No. 09/113,783 filed July 10, 1998 and claims benefit of United States Patent Application Serial No. 09/113,783 filed July 10, 1998.

The filing fee has been calculated as shown below.

\*\* Duplicate copy of this form attached to Assignment.

|                                      | (Col. 1)  | (Col. 2)  |
|--------------------------------------|-----------|-----------|
| FOR:                                 | NO. FILED | NO. EXTRA |
| BASIC FEE                            |           |           |
| TOTAL CLAIMS                         | 65-20=    | * 45      |
| INDEP CLAIMS                         | 14-3=     | * 11      |
| ] MULTIPLE DEPENDENT CLAIM PRESENTED |           |           |

\* If the difference in Col.1 is less than zero, enter "0" in Col.2

## SMALL ENTITY

| RATE  | FEE    |
|-------|--------|
|       | \$345  |
| x9=   | \$405  |
| x39=  | \$429  |
| x130= | \$ 0   |
| TOTAL | \$1179 |

OTHER THAN A  
SMALL ENTITY

| RATE     | FEE     |
|----------|---------|
|          | \$ 690. |
| x18=     | \$      |
| x78=     | \$      |
| x260=    | \$      |
| OR TOTAL | \$      |

+ Assignment \$ 40 = \$1219.00 total

- ☒ Please charge my Deposit Account No. 13-2515 for any additional fees. A duplicate copy of this sheet is enclosed.
- ☒ A check in the amount of \$1219.00 to cover the filing fee associated with this communication or credit any overpayment to Deposit Account No. 13-2515. A duplicate copy of this sheet is enclosed.
- ☒ Any additional filing fees required under 37 CFR 1.16.  
☐ Any patent application processing fees under 37 CFR 1.17.
- ☐ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 13-2515. A duplicate copy of this sheet is enclosed.
- ☐ Any patent application processing fees under 37 CFR 1.17.  
☐ The issue fee set in 37 CFR 1.18 at or before mailing of the Notice of Allowance, pursuant to 37 CFR 1.311(b).  
☐ Any filing fees under 37 CFR 1.16 for presentation of extra claims.

Daniel J. Meaney, Jr., Esq.  
P. O. Box 22307  
Santa Barbara, California 93121  
Phone: (805) 687-6909  
Date: September 15, 2000

Respectfully submitted,

*Daniel J. Meaney, Jr.*  
Daniel J. Meaney, Jr.  
Reg. No. 22179

3c930 U.S. PTO

261

091500 5573 413436/070

3c917 U.S. PTO  
09/663659  
09/15/00

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: MALCOLM G. SMITH, SR. and  
DONALD C. MANN

ATTORNEY DOCKET NO.: 5573 413436/070

FILED: SEPTEMBER 15, 2000  
(By Express Mail)

FOR: DATA STORAGE CARD HAVING A NON-MAGNETIC  
SUBSTRATE AND DATA SURFACE REGION  
AND METHOD FOR USING SAME

Commissioner of Patents  
and Trademarks  
Washington, D.C. 20231

CERTIFICATE OF FILING UNITED STATES  
PATENT APPLICATION BY EXPRESS MAIL

Dear Sir:

Pursuant to the provisions of 37 C.F.R. Section 1.10,  
enclosed are:

- (1) COVERING LETTER ON FORM PTO-1082;

I hereby certify that this correspondence is  
being deposited with the United States Postal  
Service as EXPRESS MAIL NO. EL214015734US in  
an envelope addressed to:  
Commissioner of Patents and Trademarks,  
Washington, D.C. 20231, on September 15,  
2000.

Date of Signing: September 15, 2000

Signature: [Signature]

Date of Mailing: September 15, 2000

BEST AVAILABLE COPY

- (2) United States Patent Application comprising Specification Pages 1 through 69, Claims 1 through 65 and DECLARATION FOR PATENT APPLICATION;
- (3) Ten (10) Sheets Informal Drawing;
- (4) VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) & 1.27(b))--INDEPENDENT INVENTOR;
- (5) VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) & 1.27(c))--SMALL BUSINESS CONCERN;
- (6) CHECK for \$1,219.00 paying the Filing Fee of \$1,179.00 for a Small Entity and \$40.00 for the Assignment Recording Fee;
- (7) ASSIGNMENT and RECORDATION FORM COVERING SHEET; and
- (8) Two (2) postcards, one for the UNITED STATES APPLICATION and one for the ASSIGNMENT.

If any additional fees are due herein, please charge the same to Deposit Account No. 13-2515.

We respectfully request a filing date of September 15, 2000, the date of mailing the above-referenced documents, pursuant to the provisions of 37 C.F.R. Section 1.10.

Respectfully submitted,



Daniel J. Meaney, Jr.  
Registration No. 22179  
Attorney for Applicants

P.O. Box 22307  
Santa Barbara, California 93121-2307  
Telephone: (805) 687-6909  
Dated: September 15, 2000  
261 5573cex